



DEPARTMENT OF THE ARMY
HEADQUARTERS, U. S. ARMY MEDICAL DEPARTMENT CENTER AND SCHOOL
AND FORT SAM HOUSTON
2250 STANLEY ROAD
FORT SAM HOUSTON, TEXAS 78234-6100

REPLY TO
ATTENTION OF

MCCS-RM

11 JUL 2006

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: Policy Memo - Performance Appraisal Direct and Award Request for Personnel Action (RPA) Direct

1. References:

- a. CPAC E-Mail message, same subject, 15 Apr 2004.
- b. Army Regulation 690-400, Chapter 4302, "Total Army Performance Evaluation System," (TAPES).

2. The Fort Sam Houston Civilian Personnel Advisory Center (CPAC) is not responsible for transmitting performance appraisals or award "Requests for Personnel Action" (RPA) to the North Central Civilian Personnel Operating Center (CPOC). Therefore, effective immediately, all AMEDDC&S activities will send performance appraisals to the DCSRM, ATTN: MCCS-RM. The DCSRM staff will review to verify regulatory compliance prior to transmission to the CPOC. A checklist for raters and senior raters is attached to assist you in completing performance appraisals.

3. Award RPAs will continue to be sent to RMM_3FR_AMEDDC&S_Manpower/RMM group box for processing. After review and confirmation that the performance appraisal has been entered into the Defense Civilian Personnel Database System, the DCSRM staff will forward the RPA to the CPOC.

4. Your cooperation and adherence of above actions is appreciated. The DCSRM point of contact is Susan Abbey, 221-7359.

FOR THE COMMANDER:

J.M. HARMON, III
Colonel, MS
Chief of Staff

Encl
as

DISTRIBUTION:

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CHECKLIST FOR RATERS AND SENIOR RATERS

Before forwarding DA Form 7222, Senior System Civilian Evaluation Report, and/or DA Form 7223~ Base System Civilian Evaluation Report, the following checklists should be reviewed and applied -to ensure the completeness and accuracy of the forms. Failure to do so may result in the evaluation documents (along with any award nominations) being returned to the rater or senior rater for correction/completeness.

More specific guidance can be found-in AR 690-400 Chapter 4302, Total Army Performance Evaluation System (TAPES) at www.usapa.army.mil, or by contacting your servicing Employee Relations Specialists at the CPAC.

BASE SYSTEM CHECKLIST (Covers all NI, WG, and WS/GS-8 and below)

1. The Performance Counseling Checklist/Record (DA Form 7223-.1) is attached to the Evaluation Report (DA Form 7223). -
2. Key items to check on the Checklist/Record WA Form 7223-1):
 - a. The top portion of front page is completed.
 - b. Initial counseling is complete, including date of counseling, initials of the employee, rater, and senior rater. Key points are entered on the form or attached. Ensure minimum 120 days between the date of the senior rater initials and the rating period end date.
 - c. Midpoint counseling is complete, including date of midpoint counseling and initials of at least the rater and employee. Key points are entered on the form or attached.
3. Key items to check on the Evaluation Report (DA Form 7223):.
 - a. Part I — Administrative Data is complete.
 - b. Part II — Authentication -is complete, to include signatures and dates of the rater, senior rater, and employee and the intermediate rater, if used. NOTE: If employee chooses to not sign or is not available to due extended sick leave, TDY, etc., enter "Employee unavailable to sign" or "Employee refused to sign."
 - c. Parts IV, Duty Description, and -Va, Values — Self-explanatory. Both must be completed.
 - d. Part Vb, Responsibilities - Bullet examples/comments are required for individual ratings for ratings other than successful. For non-supervisor employees, ratings must be issued for Responsibilities 1-4; for supervisors,- ratings must be issued for Responsibilities 1-6.
 - e. Part VI, Overall Performance Rating - The senior rater completes this portion and it correlates to the ratings given by the rater in the Responsibilities in Part Vb according to the following:

- **SUCCESSFUL LEVEL 1-** Ratee With No Supervisory Duties is rated **EXCELLENCE** in 3 or more of the nonsupervisory Responsibilities and **SUCCESS** in the remaining nonsupervisory Responsibilities. Ratee With Supervisory Duties is rated **EXCELLENCE** -in 4 or more Responsibilities— at least one of which must be either Supervision/Leadership or EEO/AA-and **SUCCESS** in the remainder.
- **LEVEL 2** - Ratee With No Supervisory Duties is rated **EXCELLENCE** in either two or one of the nonsupervisory Responsibilities and **SUCCESS** in the remaining nonsupervisory Responsibilities. Ratee With Supervisory Duties is rated **EXCELLENCE** in either two or three Responsibilities - one must be either Supervision/Leadership or EEO/AA - and **SUCCESS** in the remainder.
- **LEVEL 3** - Rates with no supervisory duties is rated **SUCCESS** in ALL rated responsibilities. Ratee with- supervisory duties is rated -**EXCELLENCE** in one or more nonsupervisory responsibilities but **SUCCESS** in both Supervision/Leadership and EEO/AA or who is rated **SUCCESS** in all nonsupervisory responsibilities and **EXCELLENCE** in either Supervision/Leadership or EEO/A.A.
- **FAIR** - Ratee is rated **NEEDS IMPROVEMENT** in 1 or more responsibilities and **NOT RATED FAILS IN ANY**.
- **UNSUCCESSFUL** - Ratee is rated **FAILS** in 1 or more Responsibilities— regardless of ratings assigned remaining Responsibilities.

NOTE: If the senior rater (who is the approver)- disagrees with the rater's ratings, this disagreement must be resolved prior to the forms being forwarded to the DCSRM. Contact your servicing Employee Relations Specialist for assistance if needed.

f. Provide the original copy to the employee, rater maintains a copy in the Employee's Brief, and a copy is forwarded to DCSRM for submission to the CPOC for coding and filing in the employee's Official Personnel File (OPF). NOTE: - If overall rating is Level 4 (Fair) or Level 5 (Unsuccessful), forward appraisal and support form to the CPAC for review. CPAC will forward to CPOC if rating is determined appropriate and supportable.

SENIOR SYSTEM CHECKLISTS (Covers all 24 and WS/GS-9 and above)

1. The Performance Evaluation Report Support Form WA Form 7222 - 1) is attached to the Evaluation Report IDA Form 7222).
2. Key items to check on the Evaluation Report Support Form:
 - a. Part I, Ratee Identification, and Part II, Rating Chain, of the DA Form 7222-1 must be complete and accurate. -
 - b. Part III, Verification of Face-To-Face Discussion: Ensure dates and initials of employee, rater, and senior rater in both initial and midpoint blocks. Ensure minimum 120 days between the date of the senior rater initials for the initial counseling and the rating period end date.
 - c. Part IVa, Ratee Significant Duties and Responsibilities: Self-explanatory.

d. Part IVb, Major Performance Objectives/Individual Performance Standards: Individual objective ratings must be entered for each objective. Ratings of "E" for Excellence, "S" for Success; "N" for Needs Improvement, "F" for Fails, or "NR" for Not Rated.

e. Part Ivc, Significant Contributions: Self-explanatory.

3. Key items to check on the Evaluation Report (DA Form 7222):

a. Part -I - Administrative Data complete

b. Part II - Authentication is complete, to include signatures and dates of the rater, senior rater, and employee and the intermediate rater, if used. NOTE; If employee chooses to not sign or is not available to due extended sick leave, TDY, etc., enter "Employee unavailable to sign" or "Employee refused to sign."

c. Parts IV, Duty Description, and Va, Values: Self-explanatory. Both parts must be completed.

d. Part VIa, Performance Evaluation, Performance During This Rating Period: Rating is based on following:

- SUCCESSFUL LEVEL 1—Ratee With No Supervisory Duties is rated EXCELLENCE in 75 percent or more of the Objectives and SUCCESS in the remaining nonsupervisory Objectives. Ratee With Supervisory Duties must also be rated EXCELLENCE in 75 percent or more of ALL Objectives—which must include EXCELLENCE ratings for either Organizational Management/Leadership Objective(s) or EEO/AA Objective(s)—and SUCCESS in the others. - -

- LEVEL 2 - Ratee With No Supervisory Duties is rated Excellence in 25 - 74 percent of rated Objectives and SUCCESS in the remaining Objectives.- Ratee With Supervisory Duties must be rated EXCELLENCE in 25-74 percent of ALL Objectives - which must include EXCELLENCE ratings for either Organizational Management/ Leadership Objective(s) or EEOJAA Objective(s) and at least SUCCESS in others.

- LEVEL 3 - All Ratees who are rated SUCCESS in ALL rated Objectives or EXCELLENCE in 1% through 24% and SUCCESS in remaining Objectives. Ratees with Supervisory Duties who were rated EXCELLENCE in any number of Objectives but SUCCESS in those Objectives for both Organizational Management and Leadership and EEO/AA. -

- FAIR - All Ratees who are rated NEEDS IMPROVEMENT in 1. or more Objective(s) and are NOT RATED FAILS IN ANY.

- UNSUCCESSFUL - All Ratees rated FAILS in 1 or more Objective (5) - regardless of ratings assigned other Objectives.

NOTE; "NR" ratings are not used in the computation.

e. Part VII - Intermediate Rater: Complete only if Intermediate Rater is used.

f. Part VIII - Senior Rater, Overall Performance Rating: Rating is based on individual objective ratings given by rater.

NOTE, if the senior rater (who is the approver) disagrees with the rater's ratings, this disagreement must be resolved prior to the forms being forwarded to the DCSRM. Contact your servicing Employee Relations Specialist for assistance, if needed.

g. Provide the original copy to the employee, rater maintains a copy in the Employee's Brief, and a copy is forwarded to the DCSRM for submission to the CPOC for coding and filing in the employee's Official Personnel File • (OPF). NOTE: If overall rating is Level 4 (Pair) or Level 5 (Unsuccessful), forward appraisal and support form to the CPAC for review. CPAC will forward to CPOC if rating is determined appropriate and supportable.